

P21228.P01

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	P21228	Total Pages	
Inventor(s) or Application Identifier Nobuaki KOBAYASHI and Ken FUJII			
Title: <b>DIGITAL RECORDING AND REPRODUCING APPARATUS</b>			

J1051  
U.S. PTO  
TO

07/24/01

J1050 610849  
U.S. PTO

**Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231**

APPLICATION ELEMENTS	ACCOMPANYING APPLICATION PARTS
1. <input checked="" type="checkbox"/> Fee Transmittal Form (Submit an original, and a duplicate for fee processing)	9. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) <ul style="list-style-type: none"> <li>a. <input type="checkbox"/> Computer Readable Form (CRF)</li> <li>b. Specification Sequence Listing on:               <ul style="list-style-type: none"> <li>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or</li> <li>ii. <input type="checkbox"/> paper</li> </ul> </li> <li>c. <input type="checkbox"/> Statements verifying identity of above copies</li> </ul>
2. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. <ul style="list-style-type: none"> <li>a. <input type="checkbox"/> Small Entity Statement(s)</li> </ul>	10. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s))
3. <input checked="" type="checkbox"/> Specification (preferred arrangement set forth below) <ul style="list-style-type: none"> <li>- Descriptive title of the Invention</li> <li>- Cross References to Related Applications</li> <li>- Statement Regarding Fed sponsored R &amp; D</li> <li>- Reference to sequence listing, a table, or a computer program listing appendix</li> <li>- Background of the Invention</li> <li>- Brief Summary of the Invention</li> <li>- Brief Description of the Drawings (if filed)</li> <li>- Detailed Description</li> <li>- Claim(s)</li> <li>- Abstract of the Disclosure</li> </ul>	11. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of Attorney (when there is an assignee)
4. <input checked="" type="checkbox"/> Drawing(s) (35 USC 113) <span style="float: right;">[Total Sheets <u>6</u>]</span>	12. <input type="checkbox"/> English Translation Document (if applicable)
5. <input checked="" type="checkbox"/> Oath or Declaration <span style="float: right;">[Total Pages <u>3</u>]</span> <ul style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> Newly executed (original or copy) <input type="checkbox"/> Unexecuted</li> <li>b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 20 completed) [Note Box 6 below]               <ul style="list-style-type: none"> <li>i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b> Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</li> </ul> </li> </ul>	13. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations
6. <input type="checkbox"/> Incorporation By Reference (useable if Box 5b is checked) The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 5b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.	14. <input checked="" type="checkbox"/> Preliminary Amendment
7. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76	15. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
8. <input type="checkbox"/> CD-Rom or CD-R in duplicate, large table or Computer Program (Appendix)	16. <input checked="" type="checkbox"/> Figure of Drawing to be published <u>1</u>
20. If a <b>CONTINUING APPLICATION</b> , check appropriate box and supply the requisite information: <input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part (CIP) of prior Application No. <u>      </u> / <u>      </u> , filed <u>      </u> . <i>Prior application information: Examiner: _____ Group Art Unit: _____</i>	17. <input checked="" type="checkbox"/> Foreign priority claimed <ul style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> Claim of Priority</li> <li>b. <input type="checkbox"/> Certified Copy of Priority Document(s)</li> </ul>
21. <input type="checkbox"/> Amend the specification by inserting before the first line the sentence: This application is a <u>      </u> continuation-in-part, <u>      </u> continuation, <u>      </u> divisional, of Application No. <u>      </u> / <u>      </u> , filed <u>      </u> .	18. <input checked="" type="checkbox"/> Assignee: <u>TDK CORPORATION of Tokyo, JAPAN</u>
	19. <input type="checkbox"/> Other: _____ _____ _____ _____

Address all future correspondence to **Customer No. 7055** at the present address of:

**GREENBLUM & BERNSTEIN, P.L.C.**  
1941 Roland Clarke Place  
Reston, VA 20191  
(703) 716-1191

7/24/01

Date

*Linda P. Paganer Reg. 16  
33,324*

Bruce H. Bernstein, Reg No. 29,027  
Typed or Printed Name

## FEE TRANSMITTAL

Complete if Known	
Application Number	Not Yet Assigned
Filing Date	Concurrently Herewith
First Named Inventor	N. KOBAYASHI et al.
Group Art Unit	Unassigned
Examiner Name	Unassigned

TOTAL AMOUNT OF PAYMENT	(\$750.00)	Attorney Docket Number	P21228
-------------------------	------------	------------------------	--------

METHOD OF PAYMENT (check one)	FEE CALCULATION (continued)																																																																																																																																																																																																							
1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:  Deposit Account Number <u>19-0089</u>  <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17, including any required extension of time fees in any concurrent or future reply requiring a petition for extension of time for its timely submission (37 CFR 1.136(a)(3)) <input type="checkbox"/> Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance, 37 CFR 1.311(b) <input type="checkbox"/> Applicant Claims Small Entity Status See 37 CFR 1.27.	<p>3. ADDITIONAL FEES</p> <table border="1"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65</td><td>Surcharge - late filing fee or oath</td><td></td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25</td><td>Surcharge - late provisional filing fee or cover sheet.</td><td></td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130</td><td>Non-English specification</td><td></td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td>For filing a request for reexamination</td><td></td></tr> <tr><td>112</td><td>920*</td><td>112</td><td>920*</td><td>Requesting publication of SIR</td><td></td></tr> <tr><td>113</td><td>1,840*</td><td>113</td><td>1,840*</td><td>Prior to Examiner action</td><td></td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>116</td><td>390</td><td>216</td><td>195</td><td>Extension for response within 1st month</td><td></td></tr> <tr><td>117</td><td>890</td><td>217</td><td>445</td><td>Extension for response within 2nd month</td><td></td></tr> <tr><td>118</td><td>1,390</td><td>218</td><td>695</td><td>Extension for response within 3rd month</td><td></td></tr> <tr><td>128</td><td>1,890</td><td>228</td><td>945</td><td>Extension for response within 4th month</td><td></td></tr> <tr><td>119</td><td>310</td><td>219</td><td>155</td><td>Extension for response within 5th month</td><td></td></tr> <tr><td>120</td><td>310</td><td>220</td><td>155</td><td>Notice of Appeal</td><td></td></tr> <tr><td>121</td><td>270</td><td>221</td><td>135</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td>Request for oral hearing</td><td></td></tr> <tr><td></td><td></td><td></td><td></td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td></td><td></td><td></td><td></td><td>Petition to revive unavoidably abandoned application</td><td></td></tr> <tr><td></td><td></td><td></td><td></td><td>Petition to revive unintentionally abandoned application</td><td></td></tr> <tr><td></td><td></td><td></td><td></td><td>Utility issue fee (or reissue)</td><td></td></tr> <tr><td></td><td></td><td></td><td></td><td>Design issue fee</td><td></td></tr> <tr><td></td><td></td><td></td><td></td><td>Plant issue fee</td><td></td></tr> <tr><td></td><td></td><td></td><td></td><td>Petitions to the Commissioner</td><td></td></tr> <tr><td></td><td></td><td></td><td></td><td>Petitions related to provisional applications</td><td></td></tr> <tr><td></td><td></td><td></td><td></td><td>Submission of IDS</td><td></td></tr> <tr><td></td><td></td><td></td><td></td><td>Recording each patent assignment per property (times number of properties)</td><td>40</td></tr> <tr><td></td><td></td><td></td><td></td><td>Filing a submission after final rejection (37 CFR 1.129(a))</td><td></td></tr> <tr><td></td><td></td><td></td><td></td><td>For each additional invention to be examined (37 CFR 1.129(b))</td><td></td></tr> <tr><td></td><td></td><td></td><td></td><td>Request for Continued Examination (RCE)</td><td></td></tr> <tr><td></td><td></td><td></td><td></td><td>Request for expedited examination of a design application</td><td></td></tr> <tr><td></td><td></td><td></td><td></td><td>Other fee (specify)</td><td></td></tr> <tr><td></td><td></td><td></td><td></td><td>Other fee (specify)</td><td></td></tr> <tr> <td></td> <td></td> <td></td> <td></td> <td>SUBTOTAL (3) (\$)</td> <td>40</td> </tr> </tbody> </table>		Large Entity Fee Code (\$)	Entity Fee Code (\$)	Small Entity Fee Code (\$)	Entity Fee (\$)	Fee Description	Fee Paid	105	130	205	65	Surcharge - late filing fee or oath		127	50	227	25	Surcharge - late provisional filing fee or cover sheet.		139	130	139	130	Non-English specification		147	2,520	147	2,520	For filing a request for reexamination		112	920*	112	920*	Requesting publication of SIR		113	1,840*	113	1,840*	Prior to Examiner action		115	110	215	55	Requesting publication of SIR after Examiner action		116	390	216	195	Extension for response within 1st month		117	890	217	445	Extension for response within 2nd month		118	1,390	218	695	Extension for response within 3rd month		128	1,890	228	945	Extension for response within 4th month		119	310	219	155	Extension for response within 5th month		120	310	220	155	Notice of Appeal		121	270	221	135	Filing a brief in support of an appeal		138	1,510	138	1,510	Request for oral hearing						Petition to institute a public use proceeding						Petition to revive unavoidably abandoned application						Petition to revive unintentionally abandoned application						Utility issue fee (or reissue)						Design issue fee						Plant issue fee						Petitions to the Commissioner						Petitions related to provisional applications						Submission of IDS						Recording each patent assignment per property (times number of properties)	40					Filing a submission after final rejection (37 CFR 1.129(a))						For each additional invention to be examined (37 CFR 1.129(b))						Request for Continued Examination (RCE)						Request for expedited examination of a design application						Other fee (specify)						Other fee (specify)						SUBTOTAL (3) (\$)	40
Large Entity Fee Code (\$)	Entity Fee Code (\$)	Small Entity Fee Code (\$)	Entity Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																																																			
105	130	205	65	Surcharge - late filing fee or oath																																																																																																																																																																																																				
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.																																																																																																																																																																																																				
139	130	139	130	Non-English specification																																																																																																																																																																																																				
147	2,520	147	2,520	For filing a request for reexamination																																																																																																																																																																																																				
112	920*	112	920*	Requesting publication of SIR																																																																																																																																																																																																				
113	1,840*	113	1,840*	Prior to Examiner action																																																																																																																																																																																																				
115	110	215	55	Requesting publication of SIR after Examiner action																																																																																																																																																																																																				
116	390	216	195	Extension for response within 1st month																																																																																																																																																																																																				
117	890	217	445	Extension for response within 2nd month																																																																																																																																																																																																				
118	1,390	218	695	Extension for response within 3rd month																																																																																																																																																																																																				
128	1,890	228	945	Extension for response within 4th month																																																																																																																																																																																																				
119	310	219	155	Extension for response within 5th month																																																																																																																																																																																																				
120	310	220	155	Notice of Appeal																																																																																																																																																																																																				
121	270	221	135	Filing a brief in support of an appeal																																																																																																																																																																																																				
138	1,510	138	1,510	Request for oral hearing																																																																																																																																																																																																				
				Petition to institute a public use proceeding																																																																																																																																																																																																				
				Petition to revive unavoidably abandoned application																																																																																																																																																																																																				
				Petition to revive unintentionally abandoned application																																																																																																																																																																																																				
				Utility issue fee (or reissue)																																																																																																																																																																																																				
				Design issue fee																																																																																																																																																																																																				
				Plant issue fee																																																																																																																																																																																																				
				Petitions to the Commissioner																																																																																																																																																																																																				
				Petitions related to provisional applications																																																																																																																																																																																																				
				Submission of IDS																																																																																																																																																																																																				
				Recording each patent assignment per property (times number of properties)	40																																																																																																																																																																																																			
				Filing a submission after final rejection (37 CFR 1.129(a))																																																																																																																																																																																																				
				For each additional invention to be examined (37 CFR 1.129(b))																																																																																																																																																																																																				
				Request for Continued Examination (RCE)																																																																																																																																																																																																				
				Request for expedited examination of a design application																																																																																																																																																																																																				
				Other fee (specify)																																																																																																																																																																																																				
				Other fee (specify)																																																																																																																																																																																																				
				SUBTOTAL (3) (\$)	40																																																																																																																																																																																																			
2. <input checked="" type="checkbox"/> Payment Enclosed:  <input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit Card <input type="checkbox"/> Money Order <input type="checkbox"/> Other																																																																																																																																																																																																								
FEE CALCULATION (fees effective 12/29/99)																																																																																																																																																																																																								
<p>1. FILING FEE</p> <table border="1"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>101</td><td>201</td><td>355</td><td>Utility filing fee</td><td>710</td></tr> <tr><td>106</td><td>320</td><td>160</td><td>Design filing fee</td><td></td></tr> <tr><td>107</td><td>490</td><td>207</td><td>Plant filing fee</td><td></td></tr> <tr><td>108</td><td>710</td><td>208</td><td>Reissue filing fee</td><td></td></tr> <tr><td>114</td><td>550</td><td>214</td><td>Provisional filing fee</td><td></td></tr> <tr> <td colspan="4">SUBTOTAL (1) (\$)</td> <td>710</td> </tr> </tbody> </table> <p>2. CLAIMS</p> <table border="1"> <thead> <tr> <th>Total Claims</th> <th>Independent Claims</th> <th>Extra Claims</th> <th>Fee from below</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>16</td><td>1</td><td>-20=</td><td>0</td><td>x 18 = 0</td></tr> <tr><td>1</td><td>-3=</td><td>0</td><td>x 80</td><td>= 0</td></tr> <tr><td colspan="4">Multiple Dependent Claims</td><td>x = 0</td></tr> </tbody> </table> <table border="1"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>103</td><td>18</td><td>203</td><td>9</td><td>Claims in excess of 20</td></tr> <tr><td>102</td><td>80</td><td>202</td><td>40</td><td>Independent claims in excess of 3</td></tr> <tr><td>104</td><td>270</td><td>204</td><td>135</td><td>Multiple dependent claim</td></tr> <tr><td>109</td><td>80</td><td>209</td><td>40</td><td>Reissue independent claims over original patent</td></tr> <tr><td>110</td><td>18</td><td>210</td><td>9</td><td>Reissue claims in excess of 20 and over original patent</td></tr> <tr> <td colspan="4">SUBTOTAL (2) (\$)</td> <td>0.00</td> </tr> </tbody> </table>						Large Entity Fee Code (\$)	Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	101	201	355	Utility filing fee	710	106	320	160	Design filing fee		107	490	207	Plant filing fee		108	710	208	Reissue filing fee		114	550	214	Provisional filing fee		SUBTOTAL (1) (\$)				710	Total Claims	Independent Claims	Extra Claims	Fee from below	Fee Paid	16	1	-20=	0	x 18 = 0	1	-3=	0	x 80	= 0	Multiple Dependent Claims				x = 0	Large Entity Fee Code (\$)	Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	103	18	203	9	Claims in excess of 20	102	80	202	40	Independent claims in excess of 3	104	270	204	135	Multiple dependent claim	109	80	209	40	Reissue independent claims over original patent	110	18	210	9	Reissue claims in excess of 20 and over original patent	SUBTOTAL (2) (\$)				0.00																																																																																																									
Large Entity Fee Code (\$)	Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid																																																																																																																																																																																																				
101	201	355	Utility filing fee	710																																																																																																																																																																																																				
106	320	160	Design filing fee																																																																																																																																																																																																					
107	490	207	Plant filing fee																																																																																																																																																																																																					
108	710	208	Reissue filing fee																																																																																																																																																																																																					
114	550	214	Provisional filing fee																																																																																																																																																																																																					
SUBTOTAL (1) (\$)				710																																																																																																																																																																																																				
Total Claims	Independent Claims	Extra Claims	Fee from below	Fee Paid																																																																																																																																																																																																				
16	1	-20=	0	x 18 = 0																																																																																																																																																																																																				
1	-3=	0	x 80	= 0																																																																																																																																																																																																				
Multiple Dependent Claims				x = 0																																																																																																																																																																																																				
Large Entity Fee Code (\$)	Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid																																																																																																																																																																																																				
103	18	203	9	Claims in excess of 20																																																																																																																																																																																																				
102	80	202	40	Independent claims in excess of 3																																																																																																																																																																																																				
104	270	204	135	Multiple dependent claim																																																																																																																																																																																																				
109	80	209	40	Reissue independent claims over original patent																																																																																																																																																																																																				
110	18	210	9	Reissue claims in excess of 20 and over original patent																																																																																																																																																																																																				
SUBTOTAL (2) (\$)				0.00																																																																																																																																																																																																				

SUBMITTED BY			Complete (if applicable)	
Typed or Printed Name	Bruce H. Bernstein		Reg. Number	29,027
Signature	<i>Bruce H. Bernstein</i>	Date	7/24/01	Deposit Account User ID

33,329